



DEPARTMENT OF THE NAVY

BUREAU OF MEDICINE AND SURGERY
2300 E STREET NW
WASHINGTON DC 20372-5300

IN REPLY REFER TO

BUMEDINST 12430.5
BUMED-09
6 Oct 98

BUMED INSTRUCTION 12430.5

From: Chief, Bureau of Medicine and Surgery
To: All Internal BUMED Codes

Subj: CIVILIAN PERFORMANCE MANAGEMENT PROGRAM

Ref: (a) SECNAVINST 12430.4
(b) DON Human Resources Implementation Guidance #430-1
(c) BUMED 12430.4

Encl: (1) Civilian Performance Evaluation Process
(2) BUMED Civilian Performance Management Critical Elements
(3) Leadership and Personnel Management Critical Elements for Supervisors
(4) BUMED Civilian Performance Management Form
(5) BUMED Civilian Performance Management Self-Evaluation

1. Purpose. To provide guidance on the management and evaluation of the performance of civilian personnel within the Bureau of Medicine and Surgery (BUMED).

2. Background. References (a) through (c) provide direction and guidance for the development of a civilian performance management program by individual Navy and BUMED organizations. These instructions are the basis for development of the process outlined herein. Four significant requirements are outlined in these references:

a. All performance management programs within DON will have a two-level summary rating, evaluating an employee as either "Acceptable" or "Unacceptable."

b. All programs shall provide for a minimum 90-day appraisal period.

c. The use of non-critical elements in the performance management program is prohibited.

d. Individual end-of-year summary performance ratings and monetary awards are not to be linked.

3. Policy. BUMED will maintain a civilian performance management process that evaluates employee performance, fosters

communication between supervisor and employee, and encourages continual feedback to enhance individual and organizational effectiveness. In addition, the process will help encourage and facilitate employee development.

4. Program Objectives. The objectives of the BUMED civilian performance management process are to:

a. Tie performance evaluation to the employee's contribution to the organization.

b. Facilitate communications between employee and supervisor on performance expectations and evaluation.

c. Provide for employee input and involvement throughout the process.

d. Emphasize employees' continuing development in current position and plans for future growth.

e. Capture information on employees' skills and abilities for development and advancement.

f. Acknowledge employees' contributions and positive performance.

g. Provide a meaningful profile of employees' strengths, limitations, and development needs against the requirements of the job.

5. Process

a. Enclosure (1) provides a flowchart depicting the process and time line to be followed to manage civilian performance, provide feedback, and an annual performance rating. The evaluation cycle will be accomplished on an annual basis coinciding with the fiscal year (1 October through 30 September).

b. While progress reviews are encouraged throughout the year, particularly around a significant event (e.g., reaching a major milestone in a program, the completion of a critical task or project, accomplishment of a major organizational objective or goal), at least one midyear review and discussion of progress must be conducted between 1 April and the third Friday in April of each year.

c. Enclosure (2) is used to record an employee's critical elements. A critical element is a work assignment or responsibility of such importance that unacceptable performance on the element would result in a determination an employee's overall performance is unacceptable. As a minimum, each critical element must include a definition and the measurements by which it will be evaluated. Supervisors are encouraged to follow the human resources guidance on defining critical elements. The critical elements shall be attached to the final evaluation form.

d. Each employee shall have at least one critical element and no more than five identified. Only critical elements shall be used to evaluate employee performance. Critical elements must be set within 30 days of the beginning of the evaluation period or within 30 days of a new employee reporting on board.

e. All supervisors of civilian employees will be evaluated on leadership and personnel management. Military supervisors will be evaluated under the "Leadership" performance trait on their fitness or evaluation report. Civilian supervisors will be evaluated using the leadership and personnel management statements provided in enclosure (3), which must be a part of their critical elements.

f. An employee's position description (PD) shall be reviewed annually, to ensure its currency, as part of the development of critical elements. An employee shall have a current PD in order to develop accurate and measurable critical elements. A review of a PD shall also be done upon any significant change to the employee's duties or responsibilities. If a PD is changed, the critical elements must then be reviewed and revised as needed.

g. Supervisors shall ensure employees have the requisite training and education to perform the duties and responsibilities of their positions. Before the establishment of critical elements, and at midyear, supervisors should discuss training and development with the employee.

h. Although the ultimate decision lies with management, employees shall be given the opportunity to be involved in the development of critical elements and measurements. Employees are highly encouraged to actively participate in this phase of the process.

i. Enclosure (4) shall be used throughout the evaluation cycle noting the development of critical elements, the accomplishment of midyear review, and the final evaluation and rating.

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j. Employees shall provide a single page "self-evaluation" of their work, strengths and accomplishments, and areas of focus and emphasis to their supervisor at the conclusion of the evaluation year. This document shall not be included as part of the official rating of record documentation. Enclosure (5) may be used for this submission.

k. An employee's signature on any section of the form does not constitute agreement, but only denotes the completion or accomplishment of that portion of the process. If, after being advised of this, an employee refuses to sign the forms, the supervisor shall annotate the employee signature line with "Employee refused to sign," then initial and date.

l. An employee is considered to have performed at the "acceptable" level if he or she meets or exceeds the established performance requirements or standards for all critical elements of the employee's position. If an employee fails to meet or exceed the established performance standard in one or more critical elements, the employee shall be rated as "unacceptable."

6. Responsibilities

a. Chief of Staff shall:

(1) Be responsible for the overall implementation of the evaluation program.

(2) Establish the overall process schedule and provide annual training on the process.

(3) Initiate the annual evaluation process cycle, the midyear review process, and the final evaluation process by providing a schedule, expected completion date, and implementing guidance.

(4) Monitor and receive notification of completion of midyear and final reviews.

b. Assistant Chiefs shall:

(1) Ensure the civilian evaluation management process is implemented within their organization.

(2) Ensure all their civilians and all their military supervisors of civilians are trained on the civilian management evaluation process.

(3) Report to MED-94 upon the completion of the midyear and final evaluations within their organization.

(4) Ensure the process schedule is met.

c. Reviewers, generally the rater's supervisor, shall:

(1) Ensure the civilian evaluation management process is implemented within their organization.

(2) Ensure all their civilians and all their military supervisors of civilians are trained on the civilian management evaluation process.

(3) Ensure all their civilian employees' PDs are current.

(4) Review and sign the critical elements and individual development plan (IDP).

(5) Review and sign the midyear and final evaluations

(6) Ensure the process schedule is met.

(7) Forward evaluation documentation (evaluation form, critical elements, and self-evaluation) through command chain.

d. Raters, generally the immediate supervisors of employees, shall:

(1) Ensure the civilian evaluation management process is implemented within their organization.

(2) Ensure all their civilians and all their military supervisors of civilians are trained on the civilian management evaluation process.

(3) Ensure all their civilian employees' PDs are current.

(4) Ensure all their employees have critical elements and an IDP established at the beginning of the evaluation cycle.

(5) Develop and sign the critical elements and IDP.

(6) Develop and sign the midyear and final evaluation.

(7) Discuss the critical elements and IDP with each employee.

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(8) Hold formal midyear and final evaluation discussions with each employee.

(9) Provide feedback to employees, particularly around a significant event, throughout the evaluation year.

(10) Recognize employees for their accomplishments throughout the evaluation year.

(11) Identify and document unacceptable performance as soon as it occurs.

(12) Inform an employee immediately of unacceptable performance and develop a Performance Improvement Plan.

(13) Request training, as needed, for employees per the IDPs.

(14) Ensure employees provide self-evaluations for the final review process.

(15) Ensure the process schedule is met.

(16) Forward evaluation documentation (evaluation form, critical elements, and self-evaluation) through command chain.

e. Employee shall:

(1) Perform work under a current PD.

(2) Provide critical element and IDP input.

(3) Request and attend training per their IDP.

(4) Have formal midyear and final evaluation discussions with their supervisor.

(5) Sign critical elements, IDP, midyear, and final evaluation forms indicating completion or accomplishment of that portion of the process.

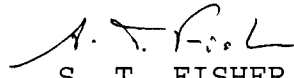
(6) Develop and submit self-evaluation forms for final evaluation.

7. Submission. The original copy of the completed annual performance evaluation form is to be forwarded, via the chain of command, to MED-94 Civilian Personnel Division. The Civilian Performance Management forms are due, annually, in MED-94 no later than the third Friday of October. Upon the departure of an employee or rater, a close-out evaluation must be provided

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before departure. Unless it is the final (annual) rating, a copy of a close out or an "interim" evaluation is not forwarded to MED-94.

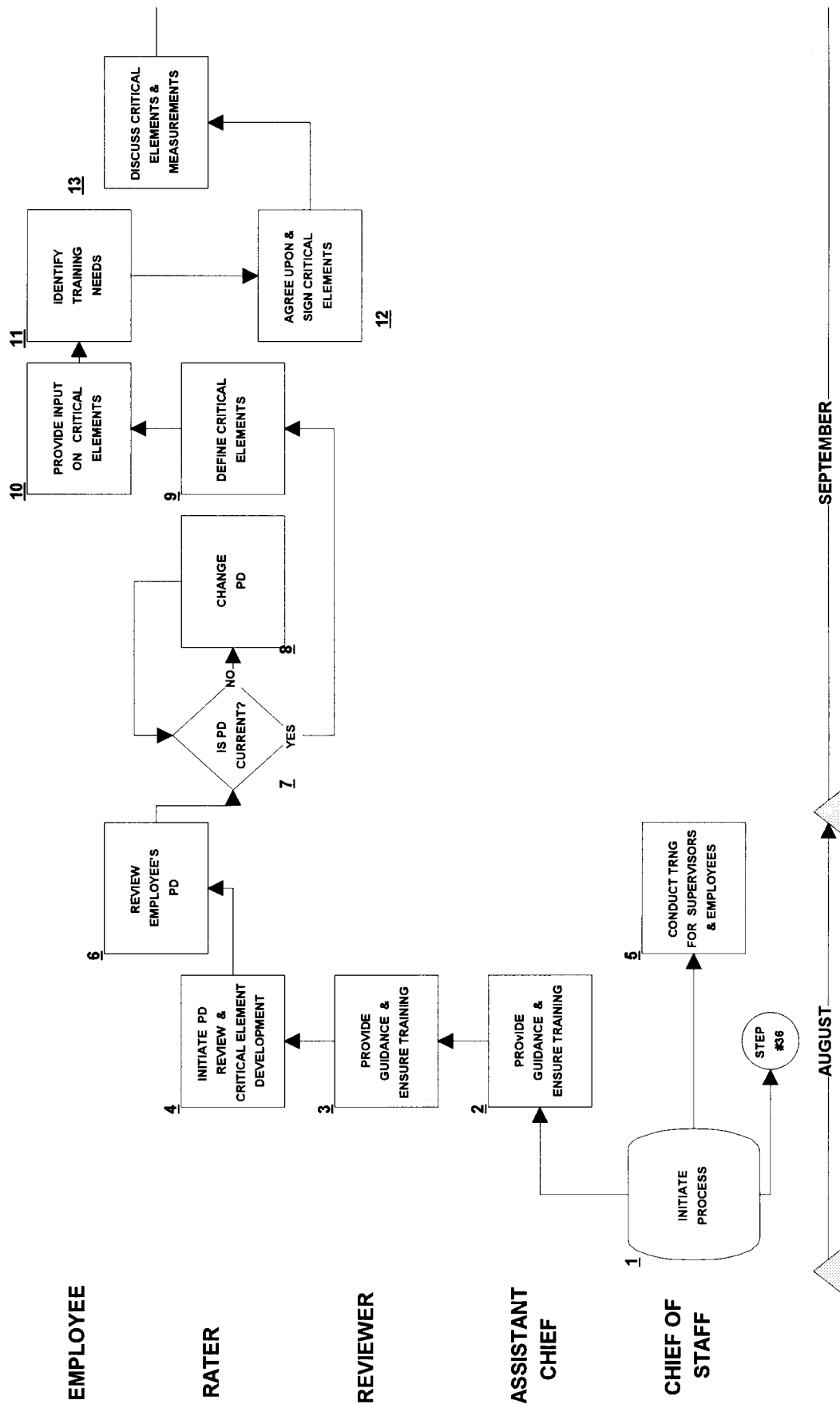
8. Forms. The forms provided in enclosures (2) and (4) shall be used to document the critical elements, performance rating and review, and the employee self-evaluation. The forms can be duplicated locally; however, the forms shall not be altered in any way without the prior approval of the Chief of Staff. The forms will be available on the Web.


S. T. FISHER
Deputy

Available from:
<http://support1.med.navy.mil/bumed/instruct/external/external.htm>

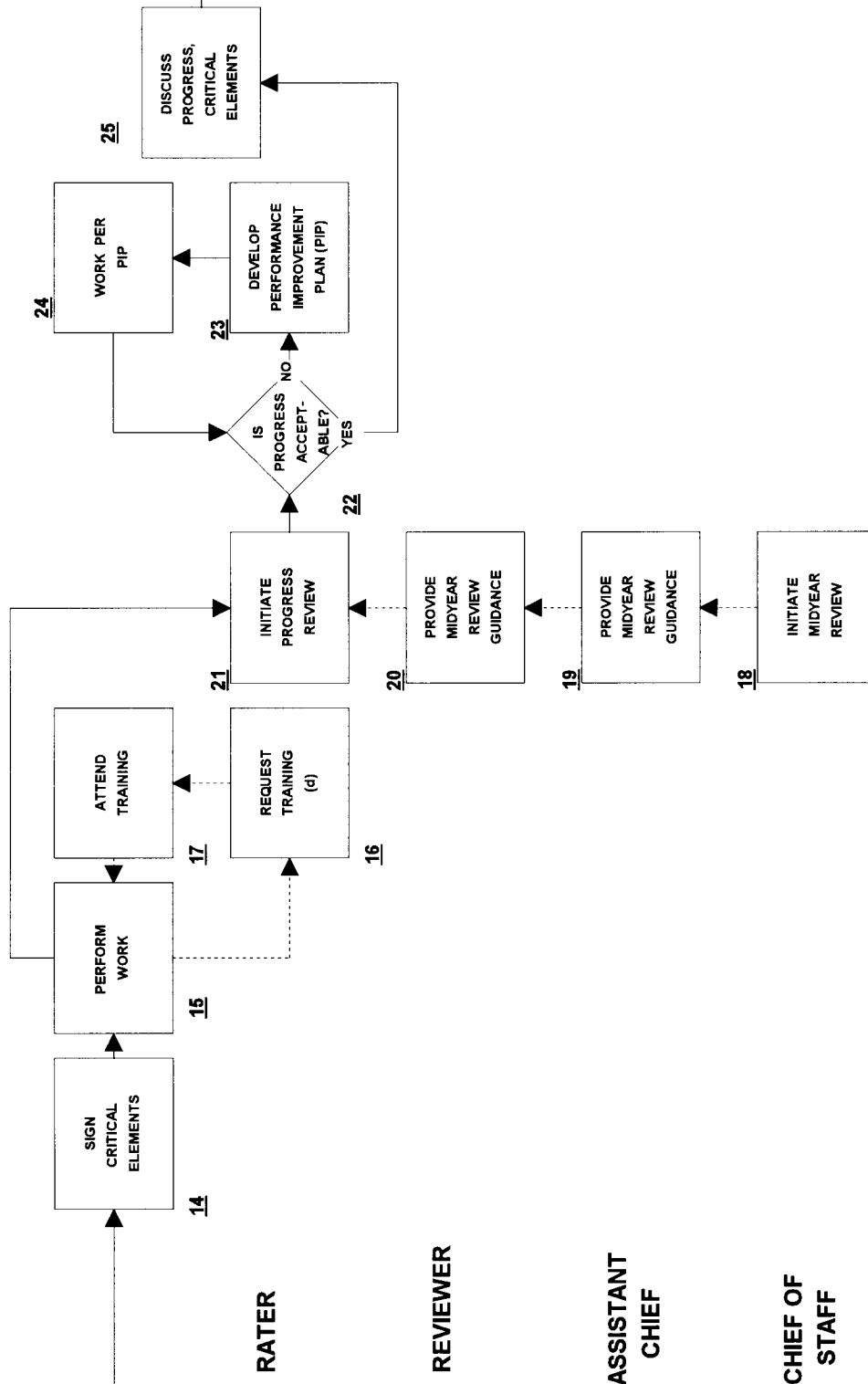
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CIVILIAN PERFORMANCE EVALUATION PROCESS

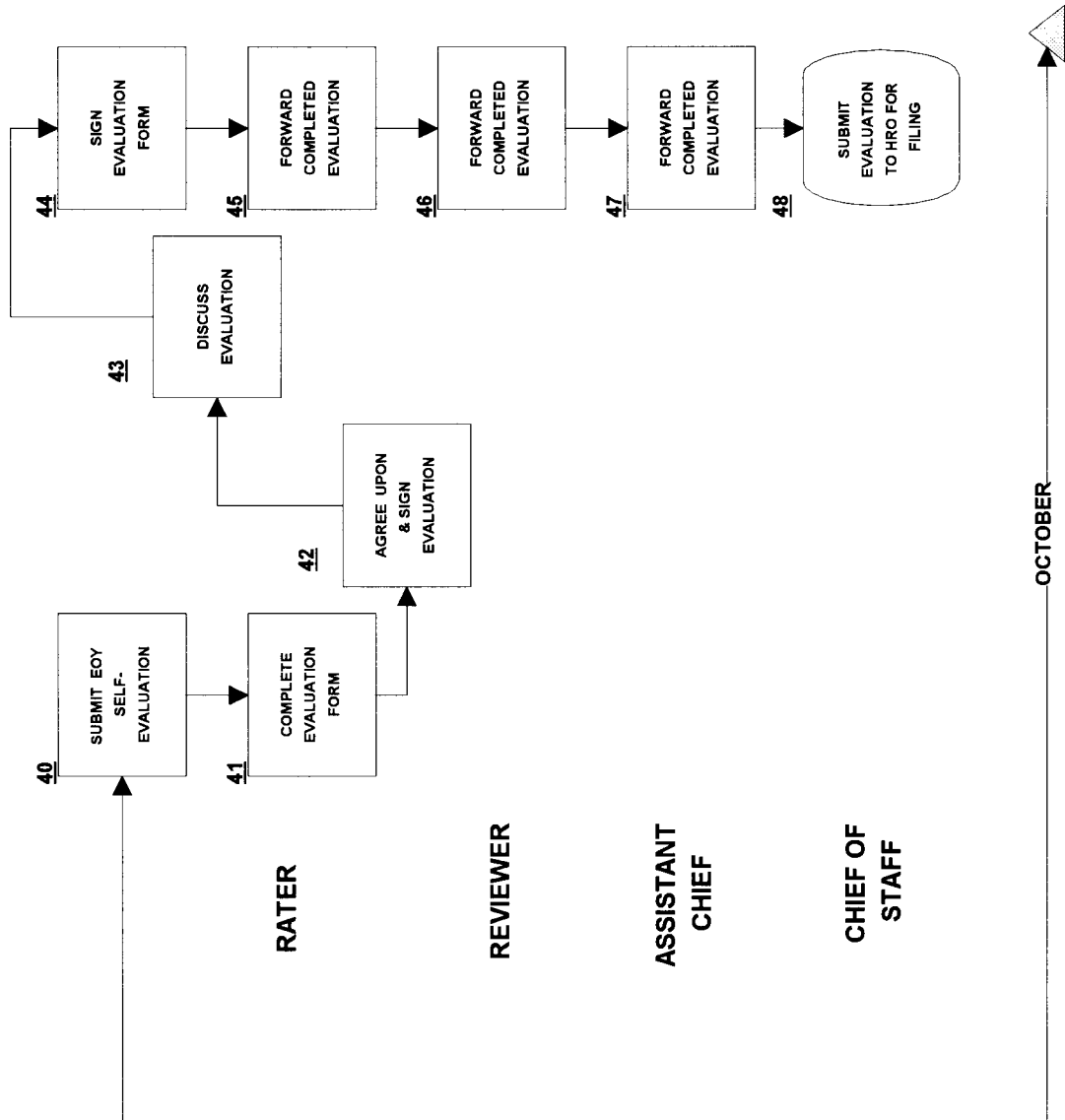


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Enclosure (1)







BUMED CIVILIAN PERFORMANCE MANAGEMENT CRITICAL ELEMENTS

BUMED 12430/2 (9-98)

NAME: _____ POSITION: _____

Position description must be current prior to setting Critical Elements.

CRITICAL ELEMENTS and STANDARDS	MET	NOT MET

NAME: _____ POSITION _____

CRITICAL ELEMENTS and STANDARDS	MET	NOT MET

LEADERSHIP AND PERSONNEL MANAGEMENT CRITICAL ELEMENTS FOR
SUPERVISORS

1. LEADERSHIP. Develops and implements an organizational vision. Maintains a fair balance between change and continuity. Continually strives to improve customer service and program performance. Creates a work environment that encourages creative thinking. Maintains focus, intensity, and persistence, even under adversity. Designs and implements strategies which maximize employee potential. Mentors and provides advice and guidance to employees and peers. Fosters and practices high ethical standards in meeting the organization's vision, mission, and goals. Demonstrates the ability to make timely and effective decisions and produce results through planning, execution, and evaluation of programs and policies. Demonstrates ability for handling human, financial, material, and/or information resources in a manner that instills trust and accomplishes the organization's mission. Explains, advocates, and expresses facts and ideas in a convincing manner. Develops and effectively uses a professional network. Effectively deals with the impacts that internal and external political environments have on the work of the organization.

2. PERSONNEL MANAGEMENT. Applies sound principles of personnel, manpower, and EEO policies and practices to staff management. Supports EEO and applies EEO principles to employee management. Creates an organizational climate that enhances morale and removes barriers to professionalism. Delegates work fairly, commensurate with position and grade or rate. Monitors work progress. Keeps subordinates informed about work assignments, expectations, progress, and changes. Ensures position descriptions are current and adequately reflect assigned duties and responsibilities. Fosters cohesive teamwork. Builds commitment to continuing improvement. Ensures needed training is provided and promotes career development of subordinates. Evaluates employees and provides frequent and constructive feedback. Gives technical advice as required and reviews work promptly. Manages performance through appropriate recognition, rewards, feedback, and corrective action. Applies proper position management principles and techniques to produce an efficient organization and productive staff. Promotes a safe and healthful work environment supporting the command's safety and health programs and ensuring compliance with applicable standards. In cases of noncompliance, takes appropriate disciplinary action prescribed in Civilian Personnel Instruction 752 or the Uniform Code of Military Justice.

BUMED CIVILIAN PERFORMANCE MANAGEMENT FORM
BUMED 12430/1 (8-98)

NAME: _____ CODE: _____

POS. TITLE/SERIES/GRADE: _____ SSN: _____

DATES: From: _____ To: _____

Is PD current? ____ Yes (date last reviewed _____)

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Critical elements and standards have been discussed and set:

Rater _____ Date: _____

Reviewer _____ Date: _____

Employee _____ Date: _____

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Midyear progress has been discussed:

Rater _____ Date: _____

Reviewer _____ Date: _____

Employee _____ Date: _____

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(NOTE: Page 2 (reverse) of this form MUST be completed before signature)

The above individual is evaluated, for the period indicated, as:

☐ ACCEPTABLE *All Critical Elements must be rated as "MET"*

☐ UNACCEPTABLE *One or more Critical Elements is rated as "NOT MET"*

Rater _____ Date: _____

Reviewer _____ Date: _____

Employee _____ Date: _____

STRENGTHS & ACCOMPLISHMENTS:

AREA(S) OF FOCUS AND EMPHASIS:

RECOGNITION(S) EARNED DURING EVALUATION PERIOD:

BUMED CIVILIAN PERFORMANCE MANAGEMENT

SELF-EVALUATION

NAME: _____ POSITION: _____ DATE: _____